



Patent Docket P2630P1C1

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Avi Ashkenazi, et al.

Serial No.: 09/918,531

Filed: July 30, 2001

For: *Secreted and Transmembrane  
Polypeptides and Nucleic Acids  
Encoding the Same*

Group Art Unit: Unknown

Examiner: Unknown

CONFIRMATION NO: 3713

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on

January 4, 2002

Teri Renshaw

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Box: MISSING PARTS  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

This is responsive to the Notice to File Missing Parts - Filing Date Granted dated December 5, 2001. Transmitted herewith are the following documents:

1. A copy of the duly executed Declaration (in 23 parts), Transmittal Letter, Fee of \$130 for late filing of Declaration (authorized to charge to Deposit Account No. 07-0630), Preliminary Amendment and Post card which was sent to the U.S. Patent Office by Certificate of Mailing on October 19, 2001.
2. Certificate re: Sequence Listing and Response.
3. Paper and Electronic Copy of Sequence Listing in response to the Error Report.
4. Copy of Notice to File Missing Parts of Non-Provisional Patent Application.
5. Post card.

In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 07-0630. A duplicate of this sheet is enclosed.

Respectfully submitted,

GENENTECH, INC.

Date: January 4, 2002

By: Mark T. Kresnak

Mark T. Kresnak, Ph.D.

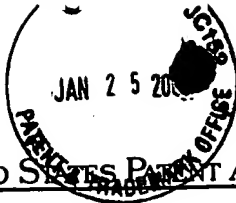
Reg. No. 42,767

Telephone No. (650) 225-4461



09157

PATENT TRADEMARK OFFICE



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/918,585	07/30/2001	Avi Ashkenazi	P2630P1C1

CONFIRMATION NO. 3713

09157  
GENENTECH, INC.  
1 DNA WAY  
SOUTH SAN FRANCISCO, CA 94080

## FORMALITIES LETTER



\*OC00000007157882\*

Date Mailed: 12/05/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**
- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

*A copy of this notice **MUST** be returned with the reply.*



---

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

EMB/EA/L



UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/918,585	07/30/2001	Avi Ashkenazi	P2630P1C1

**RECEIVED**

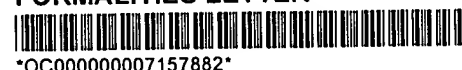
CONFIRMATION NO. 3713

 09157  
 GENENTECH, INC.  
 1 DNA WAY  
 SOUTH SAN FRANCISCO, CA 94080

DEC 11 2001

 GENENTECH, INC.  
 LEGAL DEPT.

FORMALITIES LETTER



\*OC000000007157882\*

Date Mailed: 12/05/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

01/15/2002 SHINASS1 00000043 09918585

FILED UNDER 37 CFR 1.53(b)

01 FC:105 130.00 CH

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**
- A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing." Applicant must provide a substitute computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

 Adjustment date: 03/05/2002 Y61ZAN  
 01/29/2002 VTRUONG1 00000166 070630 09918585  
 01 FC:105 130.00 CR
**CALENDAR/DHW**A copy of this notice **MUST** be returned with the reply. Missing Parts & Sequence

Feb. 05, 2002

DUE DATE

01/29/2002 VTRUONG1 00000166 070630 09918585

01 FC:105 130.00 CH

A handwritten signature in black ink, appearing to read "J. M. [unclear]", is written over a horizontal line.

Customer Service Center


Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



Patent Docket P2630P1C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of  Avi Ashkenazi, et al.  Serial No.: 09/918,585  Filed: July 30, 2001  For: <i>SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME</i>	Group Art Unit: Not yet assigned  Examiner: Not yet assigned  <div style="text-align: center;"><small>CERTIFICATE OF MAILING</small> <small>I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on</small>  October 19, 2001  Teri Renshaw</div>
--	--

TRANSMITTAL LETTER

BOX: OIPE  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

Transmitted herewith are the following documents:

1. Combined Declaration for Patent Application and Power of Attorney duly executed by inventors (in 23 parts).
2. Fee of \$130 for late filing of Declaration (authorized to charge to Deposit Account No. 07-0630).
3. Preliminary Amendment

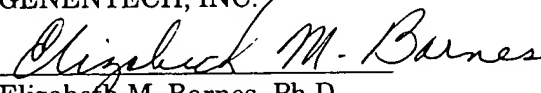
In the event any additional fees are due in connection with the filing of these documents, the Commissioner is authorized to charge such fees to our Deposit Account No. 07-0630.

Respectfully submitted,

GENENTECH, INC.

Date: October 19, 2001

By:

  
Elizabeth M. Barnes, Ph.D.  
Reg. No. 35,059  
Telephone No. (650) 225-4563



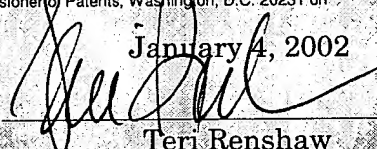
09157

PATENT TRADEMARK OFFICE



Patent Docket P2630P1C1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Avi Ashkenazi, et al. Serial No.: 09/918,585 Filed: July 30, 2001 For: <i>Secreted and Transmembrane Polypeptides and Nucleic Acids Encoding the Same</i>	Group Art Unit: Unknown Examiner: Unknown Confirmation No: 3713  <b>CERTIFICATE OF MAILING</b> I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on January 4, 2002  Teri Renshaw
--	---

**CERTIFICATE RE: SEQUENCE LISTING**

**RESPONSE UNDER 37 CFR § 1.821(f) and (g)**

Box: Missing Parts  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC.

Date: January 4, 2002

By: 

Mark T. Kresnak, Ph.D.

Reg. No. 42,767

Telephone No. (650) 225-4461



09157

PATENT TRADEMARK OFFICE





In Re Application of:  
Serial No: 09/918,585  
Filed on: July 30, 2001  
Mailed on: October 19, 2001

Docket No: P2630P1C1  
By: Elizabeth M. Barnes  
Reg. No.: 35,059

The following has been received by the U.S. Patent Office on the date stamped:

- Preliminary Amendment;
- Transmittal letter;
- Combined Declaration for Patent Application and Power of Attorney duly executed by inventors (in 23 parts);
- Fee of \$130 for late filing of Declaration (authorized to charge to Deposit Account 07-0630); and
- Post card.



Effective ~~OCTOBER~~ **OCTOBER 1, 2001**, Patent Fees will be adjusted. Please note that fee amounts required by the enclosed Notice might reflect the fees due on the date of filing. Any fee paid on or after OCTOBER 1, 2001 is subject to the new FY 2002 fee schedule and must be paid in the new amount. #5

**EXAMPLES OF FEES BEING ADJUSTED**

See [www.uspto.gov](http://www.uspto.gov) for complete FY 2001 and FY-2002 Fee Schedules

\* Indicates fees remain at FY 2001 amount

DESCRIPTION	FY 2001	FY 2002
Basic filing fee - Utility	\$710	\$740
Basic filing fee - Utility (Small Entity)	\$355	\$370
Independent claims in excess of three	\$80	\$84
Independent claims in excess of three (Small Entity)	\$40	\$42
Claims in excess of twenty	\$18	\$18*
Claims in excess of twenty (Small Entity)	\$9	\$9*
Multiple dependent claim	\$270	\$280
Multiple dependent claim (Small Entity)	\$135	\$140
Surcharge - Late filing fee	\$130	\$130*
Surcharge - Late filing fee (Small Entity)	\$65	\$65*
Design filing fee	\$320	\$330
Design filing fee (Small Entity)	\$160	\$165
Plant filing fee	\$490	\$510
Plant filing fee (Small Entity)	\$245	\$255
Reissue filing fee	\$710	\$740
Reissue filing fee (Small Entity)	\$355	\$370
Reissue independent claims	\$80	\$84
Reissue independent claims (Small Entity)	\$40	\$42
Reissue claims in excess of twenty	\$18	\$18*
Reissue claims in excess of twenty (Small Entity)	\$9	\$9*
Provisional application filing fee	\$150	160
Provisional application filing fee (Small Entity)	\$75	80
Surcharge - Late provisional filing fee	\$50	\$50*
Surcharge - Late provisional filing fee (Small Entity)	\$25	\$25*
Non-English Specification	\$130	\$130*
Extension - First month	\$110	\$110*
Extension - First month (Small Entity)	\$55	\$55*
Extension - Second month	\$390	\$400
Extension - Second month (Small Entity)	\$195	\$200
Extension - Third month	\$890	\$920
Extension - Third month (Small Entity)	\$445	\$460
Extension - Fourth month	\$1,390	\$1,440
Extension - Fourth month (Small Entity)	\$695	\$720
Extension - Fifth month	\$1,890	\$1,960
Extension - Fifth month (Small Entity)	\$945	\$980
Petition	\$130	\$130*
Processing returned checks	\$50	\$50*

For further fee information, please call  
(703-308-HELP)

